



Sheet 1 of 1

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| FORM PTO-1449 | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | ATTORNEY DOCKET NO. 1538.1012 | APPLICATION NO. 09/803,153 |
| INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary) | | FIRST NAMED INVENTOR Takao SAMUKAWA | |
| | | FILING DATE March 12, 2001 | GROUP ART UNIT 3628 |

U.S. PATENT DOCUMENTS

| *EXAMINER INITIAL | | DOCUMENT NO. | DATE | NAME | CLASS | SUB- CLASS | FILING DATE |
|----------------------|----|-----------------|------|------|-------|---------------|----------------|
| | AA | | | | | | |
| | AB | | | | | | |
| | AC | | | | | | |
| | AD | | | | | | |

FOREIGN PATENT DOCUMENTS

| | | DOCUMENT NO. | DATE | COUNTRY | TRANSLATION YES NO | | ABSTRACT |
|--|----|-----------------|------|---------|-----------------------|--|----------|
| | AE | | | | | | |
| | AF | | | | | | |
| | AG | | | | | | |

OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

| | | | | TRANSLATION YES NO | |
|----|----|---|--|-----------------------|---|
| | AH | Japanese Office Action mailed June 7, 2005 in corresponding Japanese Patent Application No. 2001-043934. | | | X |
| gm | AI | "First step of the Internet Share Trading", NISHINA YUZO, Ikeda Inc., 1 st Edition, May 25, 2000, pp. 192-193. | | X | |
| gm | AJ | "Beginning Internet Stock Trading with E* Trade", TORIYAMA RYUICHI, Softbank Publishing Inc., December 6, 1994, pp. 49-51. | | X | |
| gm | AK | "Trading odd-lots via the Internet Imagawa Misawaya Securities intends deployment to the United States and Europe", The Nikkei Financial Daily, Nihon Keizai Shimbun Inc., October 11, 1998, pg. 3. | | X | |

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| EXAMINER | DATE CONSIDERED 1/31/2006 |
| *EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | |